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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.	
09/629,589	07/31/2000	Ashvin Bonafede Chhabra	JPM-002	4299	
7:	590 10/25/2004		EXAM	INER	
Andrew F Strobert			POINVIL,	POINVIL, FRANTZY	
Skadden Arps S	Slate Meagher & Flom L	LLP			
Four Times Square			ART UNIT	PAPER NUMBER	
New York, NY 10036			3628	•	
			DATE MAILED: 10/25/2004		

Please find below and/or attached an Office communication concerning this application or proceeding.

9) ☐ The specification is objected to by the Examiner. 10) ☐ The drawing(s) filed on is/are: a) ☐ accepted or b) ☐ objected to by the Examiner. Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a). 11) ☐ The proposed drawing correction filed on is: a) ☐ approved b) ☐ disapproved by the Examiner. If approved, corrected drawings are required in reply to this Office action. 12) ☐ The oath or declaration is objected to by the Examiner. Priority under 35 U.S.C. §§ 119 and 120 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f). a) ☐ All b) ☐ Some * c) ☐ None of: 1. ☐ Certified copies of the priority documents have been received. 2. ☐ Certified copies of the priority documents have been received in Application No 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)). * See the attached detailed Office action for a list of the certified copies not received. 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application). a) ☐ The translation of the foreign language provisional application has been received. 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121. Attachment(s) 1) ☑ Notice of References Cited (PTO-892)		Application No.	Applicant(s)				
Juffrey Pwu 3624 Juffrey Pwu 36	Office Action Summers	09/629,589	CHHABRA ET AL.				
The MAILING DATE of this communication appears on the cover sheet with the correspondence address − Period for Reply A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE ② MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION. Extensions of size many be evaluated the provisions of J CFR 1.136(a). In no went, however, may a neply be limitely filled Extensions of size many be evaluated the provisions of J CFR 1.136(a). In no went, however, may a neply be limitely filled If the period for mely is possible above, be maximum statutory period will again St (9) (MONTHS from the mailing date of this communication of the period of mely is possible above, be maximum statutory period will again St (9) (MONTHS from the mailing date of this communication of the communication to become ABANDONED (33 U.S.C. § 133). Any neply received by the Office later than these marries will be provided by the Office later than these marries and the application to become ABANDONED (33 U.S.C. § 133). Any neply received by the Office later than these marries and the application to become ABANDONED (33 U.S.C. § 133). Any neply received by the Office later than the marries and the application to become ABANDONED (33 U.S.C. § 133). Provided the period of the communication	Office Action Summary	Examiner	Art Unit				
Period for Reply A SHORTENEO STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION. after SIX (8) MONTH'S from the mailing date of this communication. If the period for reply septical date of this communication. If the period for reply septical date of this communication. If the period for reply septical date of this communication. If the period for reply septical date of this communication is the period of the septiment of the statutory minimum of this y (30) days will be considered timely. If NO period for reply septical date the mailing date of this scanning date of this communication. Any reply received by the Office that the tree medicing date of this scanning cannot be the date of this communication, even if timely flext, may venture any septiment of the septiment of th		· -					
THE MAILING DATE OF THIS COMMUNICATION. Extensions of time may be available under the provides of 3D CR 1.136(a). In no event, however, may a raply be limitly filed after SX (5) MOXINS from the mailing date of this communication. The SX (5) MOXINS from the mailing date of this communication of the SX (5) MOXINS from the mailing date of this communication. The SX (5) MOXINS from the mailing date of this communication of the SX (5) MOXINS from the mailing date of this communication. The SX (6) MOXINS from the mailing date of this communication. The SX (6) MOXINS from the mailing date of this communication, even if the MOXING (6) MOXING from the MO	- The MAILING DATE of this communication appears on the cover sheet with the correspondence address - Period for Reply						
2a) This action is FINAL. 2b) This action is non-final. 3 Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under Ex parte Quayle, 1935 C.D. 11, 453 O.G. 213. Disposition of Claims 4) Claim(s) 1-16 is/are pending in the application. 4a) Of the above claim(s) is/are withdrawn from consideration. 5) Claim(s) is/are allowed. 6) Claim(s) is/are elected. 7) Claim(s) is/are objected to. 8) Claim(s) are subject to restriction and/or election requirement. Application Papers 9) The specification is objected to by the Examiner. 10) The drawing(s) filed on is/are: a) accepted or b) objected to by the Examiner. Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a). 11) The proposed drawing correction filed on is: a) approved b) disapproved by the Examiner. If approved, corrected drawings are required in reply to this Office action. 12) The oath or declaration is objected to by the Examiner. Priority under 35 U.S.C. §§ 119 and 120 13) Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f). a) All b) Some * c) None of: 1. Certified copies of the priority documents have been received in Application No 3. Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)). *See the attached detailed Office action for domestic priority under 35 U.S.C. § 119(e) (to a provisional application). a) The translation of the foreign language provisional application has been received. 15) Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 120 and/or 121.	 THE MAILING DATE OF THIS COMMUNICATION. Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication. If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely. If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication. Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b). 						
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	1) Notice of References Cited (PTO-892) 2) Notice of Draftsperson's Patent Drawing Review (PTO-948) 3) Information Disclosure Statement(s) (PTO-1449) Paper No(s)	5) Notice of Informal P	(PTO-413) Paper No(s) atent Application (PTO-152)				

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DETAILED ACTION

Claim Rejections - 35 USC § 102

1. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless -

- (e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.
- 2. Claims 1-2, 4-9, and 11-20 are rejected under 35 U.S.C. 102(e) as being unpatentable over Friend et al. (U.S. 6,055,517).

Friend et al. disclose a system and method, with the aid of a digital computer, of determining the probability a user will achieve at least one financial goal expressed as one or more cash outflows over a first plurality of periods, comprising:

- identifying a set of assets for said user, said assets associated with a market value (col.1, line20-col.2, line 11);
- establishing a criterion for success for said user, the criterion for success providing at least one predetermined market value reference (col.2, lines 13-38);
- simulating a plurality of market scenarios on said assets, each said scenario adjusting said market value of said assets for each said period (col.2, lines 13-38);
- applying said cash outflows for each period for each said plurality of market scenarios (col.2, line38-col.3, line 60);

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• determining for a second plurality of periods, for each said scenario, whether said market value

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satisfies said criterion for success and eliminating any scenario where said market value does not

satisfy said criterion for success during a predetermined number of said second plurality of

periods (col.3, line20-col.4, line 2);

• calculating the probability said user will achieve said at least one financial goal, said calculated

probability being a function of the number of non-eliminated simulated market scenarios that

satisfy said criterion for success (claims 3-4);

• wherein said second plurality of periods comprise each of said first plurality of periods (col.7,

line34-col.9, line 67);

• wherein said calculated probability comprises a decaying function (it is inherent in a Monte

Carlo simulation that a calculated probability having a decaying function);

• wherein said calculated probability comprises a decaying function based on a predetermined

set of periods (also see claim 4);

• categorizing said asset by asset type, said categorization creating a plurality of asset groups,

said simulation of market scenarios being applied on an asset group basis, whereby all assets

within a group are treated identically (col.7, line34-col.9, line 67).

Response to Arguments

Applicant's arguments with respect to claims 1-2, 4-9, and 11-20 have been considered 3.

but are moot in view of the new ground(s) of rejection.

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4. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Jeffrey Pwu whose telephone number is 703 308-7835. If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Hyung Sough can be reached on 703 308-0505. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see http://pair-direct.uspto.gov. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

John Pu